

03/09/01  
J1042 U.S. PTO

Please type a plus sign (+) inside this box → ☐

PTO/SB/05 (11-00)  
Approved for use through 10/31/2002. OMB 0651-0032  
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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	42390P4290DC
First Inventor or Application Identifier	Edward J. Bawolek
Title	Method and Apparatus for Employing a Light Shield to Modulate Pixel Color
Express Mail Label No.	EL635698836US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

- ☒ Fee Transmittal Form (e.g. PTO/SB/17)  
(Submit an original, and a duplicate for fee processing)
- ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
- ☒ Specification Total Pages   
(preferred arrangement set forth below)
  - Descriptive title of the Invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
- ☒ Drawing(s) (35 U.S.C. 113) Total Sheets
- Oath or Declaration Total Pages 
  - ☐ Newly executed (original or copy)
  - ☒ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)
    - ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
- ☐ Application Data Sheet. See 37 CFR 1.76.

- ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
- Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - ☐ Computer Readable Form (CFR)
  - ☐ Specification Sequence Listing on:
    - ☐ CD-ROM or CD-R (2 copies); or
    - ☐ Paper
  - ☐ Statement verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

- ☐ Assignment Papers (cover sheet & document(s))
- ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney  
(when there is an assignee)
- ☐ English Translation Document (if applicable)
- ☒ Information Disclosure Statement (IDS)/PTO - 1449 ☐ Copies of IDS Citations
- ☒ Preliminary Amendment
- ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
- ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
- ☐ Request and Certification under 35 USC 122(b)(2)(B)(i).  
Applicant must attach form PTO/SB/35 or its equivalent.
- ☐ Other: .....

## 18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No: 09 / 524,081

Prior application Information: Examiner Diaz, J. Group/Art Unit: 2815

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 17. CORRESPONDENCE ADDRESS

☒ Customer Number of Bar Code Label



\*08791\*

or ☐ Correspondence address below

Name	BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP				
Address	12400 Wilshire Boulevard, Seventh Floor				
City	Los Angeles	State	California	Zip Code	90025
Country	U.S.A.	Telephone	(310) 207-3800	Fax	(310) 820-5988

Name (Print/Type) William Thomas Babbitt, Reg. No. 39,591

Signature

*William T. Babbitt*

Date

3/4/01

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

<h1 style="margin: 0;">FEE TRANSMITTAL</h1> <h2 style="margin: 0;">for FY 2001</h2> <p style="font-size: small; margin: 5px 0;">Patent fees are subject to annual revision.</p>		<b>Complete if Known</b>													
<b>TOTAL AMOUNT OF PAYMENT</b> (\$) <span style="float: right;">710.00</span>		<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">Application Number</td> <td>09/524,081</td> </tr> <tr> <td>Filing Date</td> <td></td> </tr> <tr> <td>First Named Inventor</td> <td>Edward J. Bawolek, et al.</td> </tr> <tr> <td>Examiner Name</td> <td>Diaz, J.</td> </tr> <tr> <td>Group Art Unit</td> <td>2815</td> </tr> <tr> <td>Attorney Docket Number</td> <td>42390P4290DC</td> </tr> </table>		Application Number	09/524,081	Filing Date		First Named Inventor	Edward J. Bawolek, et al.	Examiner Name	Diaz, J.	Group Art Unit	2815	Attorney Docket Number	42390P4290DC
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<p><b>METHOD OF PAYMENT</b> (check one)</p> <p>1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:</p> <p>Deposit Account Number: <span style="border: 1px solid black; padding: 2px 20px;">02-2666</span></p> <p>Deposit Account Name: <span style="border: 1px solid black; padding: 2px 50px;">Blakely, Sokoloff, Taylor &amp; Zafman LLP</span></p> <p><input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37CFR 1.16 and 1.17</p> <p><input type="checkbox"/> Applicant claims small entity status See 37 CFR 1.27</p> <p>2. <input checked="" type="checkbox"/> Payment Enclosed:</p> <p style="margin-left: 20px;"> <input checked="" type="checkbox"/> Check                <input type="checkbox"/> Money Order                <input type="checkbox"/> Other         </p> <p style="text-align: center; border-top: 1px solid black; margin-top: 10px;"><b>FEE CALCULATION</b></p> <p><b>1. FILING FEE</b></p> <table style="width: 100%; font-size: small;"> <tr> <th colspan="2">Large Entity</th> <th colspan="2">Small Entity</th> <th rowspan="2">Fee Description</th> <th rowspan="2">Fee Paid</th> </tr> <tr> <th>Fee Code</th> <th>Fee (\$)</th> <th>Fee Code</th> <th>Fee (\$)</th> </tr> <tr> <td>101</td> <td>710</td> <td>201</td> <td>355</td> <td>Utility filing fee</td> <td style="border: 1px solid black; text-align: right;">\$710</td> </tr> <tr> <td>106</td> <td>320</td> <td>206</td> <td>160</td> <td>Design filing fee</td> <td style="border: 1px solid black; text-align: right;"></td> </tr> <tr> <td>107</td> <td>490</td> <td>207</td> <td>245</td> <td>Plant filing fee</td> <td style="border: 1px solid black; text-align: right;"></td> </tr> <tr> <td>108</td> <td>710</td> <td>208</td> <td>355</td> <td>Reissue filing fee</td> <td style="border: 1px solid black; text-align: right;"></td> </tr> <tr> <td>114</td> <td>150</td> <td>214</td> <td>75</td> <td>Provisional filing fee</td> <td style="border: 1px solid black; text-align: right;"></td> </tr> <tr> <td colspan="5" style="text-align: right;"><b>SUBTOTAL (1)</b></td> <td style="border: 1px solid black; text-align: right;">(\$) 710.00</td> </tr> <p><b>2. EXTRA CLAIM FEES</b></p> <table style="width: 100%; font-size: small;"> <tr> <th colspan="2">Total Claims</th> <th colspan="2">Extra Claims</th> <th colspan="2">Fee from below</th> <th colspan="2">Fee Paid</th> </tr> <tr> <td>Independent</td> <td>6</td> <td>-20**</td> <td>= 0</td> <td>X</td> <td>\$18.00</td> <td>=</td> <td>0.00</td> </tr> <tr> <td>Claims</td> <td>2</td> <td>-3**</td> <td>= 0</td> <td>X</td> <td>\$80.00</td> <td>=</td> <td>0.00</td> </tr> <tr> <td colspan="4">Multiple Dependent</td> <td></td> <td></td> <td>=</td> <td></td> </tr> </table> <p><b>Large Entity Small Entity</b></p> <table style="width: 100%; font-size: small;"> <tr> <th colspan="2">Large Entity</th> <th colspan="2">Small Entity</th> <th rowspan="2">Fee Description</th> <th rowspan="2">Fee Paid</th> </tr> <tr> <th>Fee Code</th> <th>Fee (\$)</th> <th>Fee Code</th> <th>Fee (\$)</th> </tr> <tr> <td>103</td> <td>18</td> <td>203</td> <td>9</td> <td>Claims in excess of 20</td> <td></td> </tr> <tr> <td>102</td> <td>80</td> <td>202</td> <td>40</td> <td>Independent claims in excess of 3</td> <td></td> </tr> <tr> <td>104</td> <td>270</td> <td>204</td> <td>135</td> <td>Multiple Dependent claim</td> <td></td> </tr> <tr> <td>109</td> <td>80</td> <td>209</td> <td>40</td> <td>**Reissue independent claims over original patent</td> <td></td> </tr> <tr> <td>110</td> <td>18</td> <td>210</td> <td>9</td> <td>**Reissue claims in excess of 20 and over original patent</td> <td></td> </tr> <tr> <td colspan="5" style="text-align: right;"><b>SUBTOTAL (2)</b></td> <td style="border: 1px solid black; text-align: right;">(\$) 0.00</td> </tr> </table> <p style="font-size: x-small;">**or number of previously paid, if greater. For Reissues, see above</p> </table>	Large Entity		Small Entity		Fee Description	Fee Paid	Fee Code	Fee (\$)	Fee Code	Fee (\$)	101	710	201	355	Utility filing fee	\$710	106	320	206	160	Design filing fee		107	490	207	245	Plant filing fee		108	710	208	355	Reissue filing fee		114	150	214	75	Provisional filing fee		<b>SUBTOTAL (1)</b>					(\$) 710.00	Total Claims		Extra Claims		Fee from below		Fee Paid		Independent	6	-20**	= 0	X	\$18.00	=	0.00	Claims	2	-3**	= 0	X	\$80.00	=	0.00	Multiple Dependent						=		Large Entity		Small Entity		Fee Description	Fee Paid	Fee Code	Fee (\$)	Fee Code	Fee (\$)	103	18	203	9	Claims in excess of 20		102	80	202	40	Independent claims in excess of 3		104	270	204	135	Multiple Dependent claim		109	80	209	40	**Reissue independent claims over original patent		110	18	210	9	**Reissue claims in excess of 20 and over original patent		<b>SUBTOTAL (2)</b>					(\$) 0.00	<p><b>3. 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113	1,840	113	1,840	Requesting publication of SIR after Examiner action																																																																																																																																																																																																																																																																																																																							
115	110	215	55	Extension for response within first month																																																																																																																																																																																																																																																																																																																							
116	390	216	195	Extension for response within second month																																																																																																																																																																																																																																																																																																																							
117	890	217	445	Extension for response within third month																																																																																																																																																																																																																																																																																																																							
118	1,390	218	695	Extension for response within fourth month																																																																																																																																																																																																																																																																																																																							
128	1,890	228	945	Extension for response within fifth month																																																																																																																																																																																																																																																																																																																							
119	310	219	155	Notice of Appeal																																																																																																																																																																																																																																																																																																																							
120	310	220	155	Filing a brief in support of an appeal																																																																																																																																																																																																																																																																																																																							
121	270	221	135	Request for oral hearing																																																																																																																																																																																																																																																																																																																							
138	1,510	138	1,510	Petition to institute a public use proceeding																																																																																																																																																																																																																																																																																																																							
140	110	240	55	Petition to revive - unavoidably																																																																																																																																																																																																																																																																																																																							
141	1,240	241	620	Petition to revive - unintentionally																																																																																																																																																																																																																																																																																																																							
142	1,240	242	620	Utility issue fee (or reissue)																																																																																																																																																																																																																																																																																																																							
143	440	243	220	Design issue fee																																																																																																																																																																																																																																																																																																																							
144	600	244	300	Plant issue fee																																																																																																																																																																																																																																																																																																																							
122	130	122	130	Petitions to the Commissioner																																																																																																																																																																																																																																																																																																																							
123	50	123	50	Petitions related to provisional applications																																																																																																																																																																																																																																																																																																																							
126	180	126	180	Submission of Information Disclosure Stmt																																																																																																																																																																																																																																																																																																																							
581	40	581	40	Recording each patent assignment per property (times number of properties)																																																																																																																																																																																																																																																																																																																							
146	710	246	355	Filing a submission after final rejection (37 CFR 1.129(a))																																																																																																																																																																																																																																																																																																																							
149	710	249	355	For each additional invention to be examined (37 CFR 1.129(b))																																																																																																																																																																																																																																																																																																																							
179	710	279	355	Request for Continued Examination (RCE)																																																																																																																																																																																																																																																																																																																							
169	900	169	900	Request for expedited examination of a design application																																																																																																																																																																																																																																																																																																																							
Other fee (specify) _____																																																																																																																																																																																																																																																																																																																											
<b>SUBTOTAL (3)</b>					(\$)																																																																																																																																																																																																																																																																																																																						

<b>SUBMITTED BY</b>				<b>Complete (if applicable)</b>	
Typed or Printed Name	William Thomas Babbitt, Reg. No. 39,591			Reg. Number	
Signature		Date	5/9/01	Deposit Account User ID	02-2666